

# DECLARATION FOR PATENT APPLICATION



As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled ***Apparatus and Method of Additive Synthesis of Digital Audio Signals Using a Recursive Digital Oscillator*** the specification of which

☐ is attached hereto.

☒ was filed on March 8, 2000 as  
Application Serial No. 09/521,641  
and was amended on \_\_\_\_\_. (if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the Patent Office all information known to me to be material to patentability as defined in 37 C.F.R. 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)			Priority Claimed	
_____	_____	_____	Yes <input type="checkbox"/>	No <input type="checkbox"/>
(Number)	(Country)	(Date Filed)		

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose to the Patent Office all information known to me to be material to patentability as defined in 37 C.F.R. 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

_____	_____	_____
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)
_____	_____	_____
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below.

60/124,273  
(Application Serial No.)

03/11/99  
(Filing Date)

Direct all telephone calls to William S. Galliani at (650) 493-4935. Address all correspondence to:

PENNIE & EDMONDS LLP  
3300 Hillview Avenue  
Palo Alto, CA 94304

File No. 9840-039-999

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, §1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or  
first inventor:

Adrian Freed

Inventor's signature:

Date:

Residence:

1608 Martin Luther King, Jr. Way, Berkeley, CA 94709

Citizenship:

United Kingdom

Post Office Address:

1608 Martin Luther King, Jr. Way  
Berkeley, CA 94709

Full name of second joint  
inventor, if any:

Todd Hodes

Inventor's signature:

Date:

Residence:

770 Santa Barbara Road, Berkeley, CA 94707

Citizenship:

USA

Post Office Address:

770 Santa Barbara Road  
Berkeley, CA 94707

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_____	_____	_____
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)
_____	_____	_____
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)

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Palo Alto, CA 94304

File No. 9840-039-999

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, §1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or  
first inventor:

Adrian Freed

Inventor's signature:

A.D. Freed

Date:

July 1, 2000

Residence:

1608 Martin Luther King, Jr. Way, Berkeley, CA 94709

Citizenship:

United Kingdom

Post Office Address:

1608 Martin Luther King, Jr. Way

Berkeley, CA 94709

Full name of second joint  
inventor, if any:

Todd Hodes

Inventor's signature:

Date:

Residence:

770 Santa Barbara Road, Berkeley, CA 94707

Citizenship:

USA

Post Office Address:

770 Santa Barbara Road

Berkeley, CA 94707

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re Application of:  
Freed and Hodes

Group Art Unit: Not yet assigned

Application No.: 09/521,641

Examiner: Not yet assigned

Filed: March 8, 2000

Attorney Docket No.: 9840-0039-999  
(B96-033-1)

For: *Apparatus and Method of Additive Synthesis  
of Digital Audio Signals Using a Recursive  
Digital Oscillator*

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
[37 CFR 1.9(f) and 1.27(d)] - Nonprofit Organization

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of organization The Regents of the University of California  
Address of organization 2150 Shattuck Ave., Suite 510, Berkeley, CA 94720-1620

Type of organization:

- ☒ University or other institution of higher education
- ☐ Tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3))
- ☐ Nonprofit scientific or educational under statute of state of the United States of America  
(Name of state \_\_\_\_\_)  
(Citation of statute \_\_\_\_\_)
- ☐ Would qualify as tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3)) if located in the United States of America.
- ☐ Would qualify as nonprofit scientific or educational under statute of state of the United States of America if located in the United States of America  
(Name of state \_\_\_\_\_)  
(Citation of statute \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled by inventor(s) Adrian Freed and Todd Hodes, described in

- ☐ the specification filed herewith
- ☒ application no. 09/521,641 filed March 8, 2000
- ☐ patent no. \_\_\_\_\_ issued \_\_\_\_\_

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization identified above and/or there is an obligation under contract or law by the

inventor(s) to convey rights to the nonprofit organization identified above with regard to the invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

FULL NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_

☐ INDIVIDUAL   ☐ SMALL BUSINESS CONCERN   ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.28 (b)]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, and patent issuing thereon, or any patent to which this verified statement is directed.

Send correspondence to:      PENNIE & EDMONDS LLP  
3300 Hillview Avenue  
Palo Alto, CA 94304

Direct Telephone calls to:  
William S. Galliani  
PENNIE & EDMONDS LLP  
(650) 493-4935

Name of person signing William A. Hoskins  
Title of person other than owner Director  
Address of person signing Office of Technology Licensing  
2150 Shattuck Ave., Suite 510, Berkeley, CA 94720-1620

Signature  Date June 19, 2000

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities.  
(37 CFR 1.27)